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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                        |   |
|------------------------|---|
| Attorney Docket No.    | 708-1003  |
| First Inventor         | Anslow  |
| Title                  | Distortion Measurement In Optical Communication Systems |
| Express Mail Label No. | EL 761 854 639 US                                       |

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)

2.  Applicant claims small entity status.  
See 37 CFR 1.27.

3.  Specification [Total Pages 14]  
(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table, or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure

4.  Drawing(s) (35 U.S.C. 113) [Total Sheets 5]  
5. Oath or Declaration [Total Pages ]  
a.  Newly executed (original or copy)  
b.  Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)  
i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6.  Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

a.  Computer Readable Form (CRF)

b. Specification Sequence Listing on:  
i.  CD-ROM or CD-R (2 copies); or  
ii.  paper

c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document(s))

10.  37 CFR 3.73(b) Statement  Power of Attorney

11.  English Translation Document (if applicable)

12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations

13.  Preliminary Amendment

14.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

15.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

16.  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

17.  Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

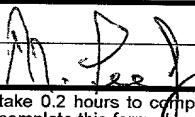
 Continuation  Divisional  Continuation-in-part (CIP) of prior application No.: /

Prior application information: Examiner \_\_\_\_\_ Group / Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

|  |   |           |              |   |                  |
|--|---|-----------|--------------|---|------------------|
| <input type="checkbox"/> Customer Number or Bar Code Label | (Insert Customer No. or Attach bar code label here) |           |              | or <input checked="" type="checkbox"/> Correspondence address below |                  |
| Name   | William M. Lee, Jr.                                 |           |              |   |                  |
|  | Lee, Mann, Smith, McWilliams, Sweeney & Ohlson      |           |              |   |                  |
| Address  | 209 South LaSalle Street                            |           |              |   |                  |
|  | Suite 410   |           |              |   |                  |
| City   | Chicago   | State     | IL           | Zip Code  | 60604-1202       |
| Country  | USA   | Telephone | 312-368-1300 |   | Fax 312-368-0034 |

|                   |   |                                   |                 |
|-------------------|---|-----------------------------------|-----------------|
| Name (Print/Type) | William M. Lee, Jr.   | Registration No. (Attorney/Agent) | 26,935          |
| Signature         |  | Date                              | October 9, 2001 |

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT \$1,092.00

## Complete if Known

|                      |          |
|----------------------|----------|
| Application Number   |          |
| Filing Date          |          |
| First Named Inventor | Anslow   |
| Examiner Name        |          |
| Group Art Unit       |          |
| Attorney Docket No.  | 708-1003 |

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **12-0913**

Deposit Account Name

 Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17 Applicant claims small entity status See 37 CFR § 1.27

2.  Payment Enclosed:

 Check  Credit card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity

| Fee Code (\$) | Fee Code (\$) | Fee Description        | Fee Paid        |
|---------------|---------------|------------------------|-----------------|
| 101 740       | 201 370       | Utility filing fee     | <b>740.00</b>   |
| 106 330       | 206 165       | Design filing fee      |                 |
| 107 510       | 207 255       | Plant filing fee       |                 |
| 108 740       | 208 370       | Reissue filing fee     |                 |
| 114 160       | 214 80        | Provisional filing fee |                 |
| SUBTOTAL (1)  |               |                        | <b>\$740.00</b> |

## 2. EXTRA CLAIM FEES

| Extra Claims         | Fee from below             | Fee Paid |
|----------------------|----------------------------|----------|
| Total Claims 28      | -20** = 8 X 18.00 = 144.00 |          |
| Independent Claims 5 | -3** = 2 X 84.00 = 168.00  |          |
| Multiple Dependent   |                            |          |

Large Entity Small Entity

| Fee Code (\$) | Fee Code (\$) | Fee Description  |
|---------------|---------------|--|
| 103 18        | 203 9         | Claims in excess of 20                                     |
| 102 84        | 202 42        | Independent claims in excess of 3                          |
| 104 280       | 204 140       | Multiple dependent claim, if not paid                      |
| 109 84        | 209 42        | ** Reissue independent claims over original patent         |
| 110 18        | 210 9         | ** Reissue claims in excess of 20 and over original patent |
| SUBTOTAL (2)  |               | <b>\$312.00</b>  |

\*or number previously paid, if greater; For Reissues, see above

## 3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  | Fee Paid     |
|----------------------------|----------------------------|--|--------------|
| 105 130                    | 205 65                     | Surcharge - late filing fee or oath  |              |
| 127 50                     | 227 25                     | Surcharge - late provisional filing fee or cover sheet                     |              |
| 139 130                    | 139 130                    | Non - English specification  |              |
| 147 2,520                  | 147 2,520                  | For filing a request for ex parte reexamination                            |              |
| 112 920*                   | 112 920*                   | Requesting publication of SIR prior to Examiner action                     |              |
| 113 1,840*                 | 113 1,840*                 | Requesting publication of SIR after Examiner action                        |              |
| 115 110                    | 215 55                     | Extension for reply within first month                                     |              |
| 116 400                    | 216 200                    | Extension for reply within second month                                    |              |
| 117 920                    | 217 460                    | Extension for reply within third month                                     |              |
| 118 1,440                  | 218 720                    | Extension for reply within fourth month                                    |              |
| 128 1,960                  | 228 980                    | Extension for reply within fifth month                                     |              |
| 119 320                    | 219 160                    | Notice of Appeal   |              |
| 120 320                    | 220 160                    | Filing a brief in support of an appeal                                     |              |
| 121 280                    | 221 140                    | Request for oral hearing   |              |
| 138 1,510                  | 138 1,510                  | Petition to institute a public use proceeding                              |              |
| 140 110                    | 240 55                     | Petition to revive - unavoidable   |              |
| 141 1,280                  | 241 640                    | Petition to revive - unintentional   |              |
| 142 1,280                  | 242 640                    | Utility issue fee (or reissue)   |              |
| 143 460                    | 243 230                    | Design issue fee   |              |
| 144 620                    | 244 310                    | Plant issue fee  |              |
| 122 130                    | 122 130                    | Petitions to the Commissioner  |              |
| 123 50                     | 123 50                     | Processing fee under 37 CFR § 1.17(q)                                      |              |
| 126 180                    | 126 180                    | Submission of Information Disclosure Statement                             |              |
| 581 40                     | 581 40                     | Recording each patent assignment per property (times number of properties) | <b>40.00</b> |
| 146 740                    | 246 370                    | Filing a submission after final rejection (37 CFR § 1.129(a))              |              |
| 149 740                    | 249 370                    | For each additional invention to be examined (37 CFR § 1.129(b))           |              |
| 179 740                    | 279 370                    | Request for Continued Examination (RCE)                                    |              |
| 169 900                    | 169 900                    | Request for expedited examination of a design application                  |              |
| Other fee (specify) _____  |                            |  |              |

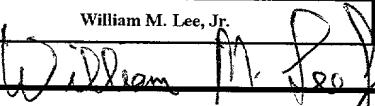
\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

**\$40.00**

## SUBMITTED BY

Complete (if applicable)

|                   |   |                                   |        |                 |              |
|-------------------|---|-----------------------------------|--------|-----------------|--------------|
| Name (Print/Type) | William M. Lee, Jr.   | Registration No. (Attorney/Agent) | 26,935 | Telephone       | 312-368-1300 |
| Signature         |  |                                   | Date   | October 9, 2001 |              |

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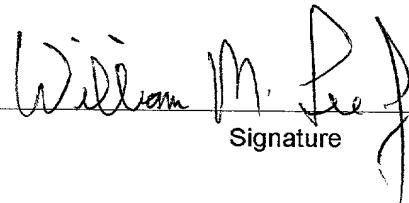
**REQUEST AND CERTIFICATION  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

|                      |  |
|----------------------|--|
| First Named Inventor | Anslow   |
| Title                | <b>Distortion Measurement In Optical Communication Systems</b> |
| Atty Docket Number   | 708-1003   |

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

October 9, 2001

Date



Signature

William M. Lee, Jr.

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Please acknowledge  
receipt of the  
enclosed:  
New Patent Application of:  
Anslove  
Distortion Measurement In Optical Communication  
Systems

1. Fee Transmittal Letter
2. Utility Patent Application Transmittal
3. Assignment Transmittal w/Assignment
4. Request And Certification Under 35 U.S.C.  
122(b)(2)(B)(i)
5. Check No. 46417 for \$1092.00
6. Declaration and Power of Attorney for Patent  
Application w/Application and 5 Sheets of  
Drawings
7. Certificate of EXPRESS MAIL.
8. Return Post Card.

DUE DATE (If Any): New Application  
DATE SENT: October 9, 2001  
tjb

"Express Mail" mailing label number  
EL 761 854 639 US

Date of deposit: October 9, 2001

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Jorge Galvan  
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